

IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Richard D. HARRAH, et al.

Confirmation No.:

Application No.: 09/800,188

Examiner: n/a

Filing Date: March 6, 2001

Group Art Unit: n/a

Title: SERVICE CONTROL MANAGER SECURITY MANAGER LOOKUP

COMMISSIONER FOR PATENTS
Washington, D.C. 20231

RECEIVED
AUG 24 2001
Technology Center 2100

TRANSMITTAL LETTER FOR RESPONSE/AMENDMENT

Sir:

Transmitted herewith is/are the following in the above-identified application:

- () Response/Amendment () Petition to extend time to respond
() New fee as calculated below () Supplemental Declaration
() No additional fee (Address envelope to "Box Non-Fee Amendments")
(X) Other: Response to Notice of Incomplete Reply (fee \$ 130.00)

CLAIMS AS AMENDED BY OTHER THAN A SMALL ENTITY						
(1) FOR	(2) CLAIMS REMAINING AFTER AMENDMENT	(3) NUMBER EXTRA	(4) HIGHEST NUMBER PREVIOUSLY PAID FOR	(5) PRESENT EXTRA	(6) RATE	(7) ADDITIONAL FEES
TOTAL CLAIMS	20	MINUS	20	= 0	X \$18	\$ 0
INDEP. CLAIMS	3	MINUS	3	= 0	X \$80	\$ 0
[] FIRST PRESENTATION OF A MULTIPLE DEPENDENT CLAIM					+ \$270	\$ 0
EXTENSION FEE	1ST MONTH \$110.00	2ND MONTH \$390.00	3RD MONTH \$890.00	4TH MONTH \$1390.00		\$ 0
OTHER FEES						\$ 130
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT						\$ 130

Charge \$ 130 to Deposit Account 08-2025. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25. Additionally please charge any fees to Deposit Account 08-2025 under 37 CFR 1.16, 1.17, 1.19, 1.20 and 1.21. A duplicate copy of this sheet is enclosed.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit:

Typed Name:

Signature: _____

Respectfully submitted,

Richard D. HARRAH, et al.

By

John K. Harrop
John K. Harrop

Attorney/Agent for Applicant(s)
Reg. No. 41,817

Date: July 26, 2001

Dear Sir:-

Please acknowledge receipt of the following document(s)

re U.S. Patent Application PD No. 10006647-1

Atty: TGR S/N: 09/800188 File Date: 3/6/01

Inventor: Richard Dale Harrah and Humberto A. Sanchez II

Title: Service Control Manager Security Manager Lookup

- * Transmittal Letter For Submittal of Missing Parts with Certificate of First Class Mailing and duplicate copy
- * Notice To File Missing Parts of NonProvisional Application
- * Two (2) pages fully executed Declaration and Power of Atty
- * One (1) page Response To Notice To File Missing Parts
- * Copy of a PTO date-stamped filing receipt confirming the filing of a Preliminary Amendment on May 25, 2001
- * Copy of Preliminary Amendment (3 pages)

RECEIVED

AUG 24 2001

Technology Center 2100

HEWLETT-PACKARD COMPANY
Intellectual Property Administration
P. O. Box 272400
Fort Collins, Colorado 80527-2400

PATENT APPLICATION

ATTORNEY DOCKET NO. 10006647-1



IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Richard Dale Harrah et al

Serial No.: 09/800188

Examiner: UNKNOWN

Filing Date: Mar 06, 2001

Group Art Unit:

Title: Service Control Manager Security Manager Lookup

RECEIVED

AUG 24 2001

Technology Center 2100

COMMISSIONER FOR PATENTS
Washington, D.C. 20231

TRANSMITTAL LETTER FOR SUBMITTAL OF MISSING PARTS

Sir:

This is in response to a Notice to File Missing Parts of Application under 37 CFR 1.53(f) mailed on 4/4/01. Enclosed is a copy of said Notice and the following documents and fees to complete the filing requirements of the above-identified application.

(X) Executed Declaration and Power of Attorney. The above-identified application is the same application which the inventor executed by signing the enclosed declaration.

() Statutory basic filing fee () Utility \$710.00 () Design \$320.00

() Additional claim fees of \$

(X) Missing Parts Surcharge \$130.00

() A Petition for Extension of Time for reply to Notice of Missing Parts is attached.
() one month \$110.00
() two months \$390.00
() three months \$890.00
() four months \$1390.00

Please charge to Deposit Account 08-2025 the sum of \$130.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25.

(X) A duplicate copy of this transmittal letter is enclosed.

Respectfully submitted,

Richard Dale Harrah et al

By

T. Grant Ritz

Attorney/Agent for Applicant(s)

Reg. No. 39,819

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: 6/4/01

Typed Name: Lanae L. Schlitt

Signature:

Date: 6/4/01

Telephone No.: (970) 898-0697
07/18/2001 WED 11:02 [TX/RX NO 5464]

Attorney Docket No.: 10006647-1

Patent

Attorney Docket No.: 10006647-1

UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Richard D. HARRAH, et al.

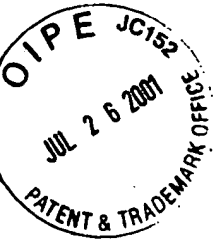
Examiner: Unknown

Serial No.: 09/800,188

Art Unit: Unknown

Filed: March 6, 2001

Title: SERVICE CONTROL MANAGER SECURITY MANAGER LOOKUP



Box Missing Parts
Commissioner for Patents
Washington, D.C. 20231

RECEIVED

AUG 24 2001

Technology Center 2100

RESPONSE TO NOTICE TO FILE MISSING PARTS
OF NONPROVISIONAL APPLICATION UNDER 37 CFR 1.53(b)

Sir:

In response to the Notice To File Missing Parts dated April 4, 2001, please find enclosed the following:

- Fully executed Declaration and Power of Attorney in compliance with 37 CFR 1.63
- Late filing fee surcharge of \$130.00 for late submittal of the Declaration in compliance with 37 CFR 1.27
- Copy of Notice To File Missing Parts Of Nonprovisional Application
- A copy of a PTO date-stamped filing receipt confirming the filing of a Preliminary Amendment on May 25, 2001 to delete any reference to Figure 5, i.e., the paragraph at Page 2, lines 11-12.

Respectfully submitted,

Date: 6-4-01

T. D. R.
Ry # 39,919



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/800.188	03/06/2001	Richard Dale Harrah	10006647-1

CONFIRMATION NO. 3393

FORMALITIES LETTER



•OC000000005934478•

Date Mailed: 04/04/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

AUG 24 2001

Filing Date Granted

Technology Center 2100

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The following item(s) appear to have been omitted from the application:

- Figure(s) 5 described in the specification.

I. Should applicant contend that the above-noted omitted item(s) was in fact deposited in the U.S. Patent and Trademark Office (USPTO) with the nonprovisional application papers, a copy of this Notice and a petition (and \$130.00 petition fee (37 CFR 1.17(h))) with evidence of such deposit must be filed within TWO MONTHS of the date of this Notice. The petition fee will be refunded if it is determined that the item(s) was received by the USPTO.

II. Should applicant desire to supply the omitted item(s) and accept the date that such omitted item(s) was filed in the USPTO as the filing date of the above-identified application, a copy of this Notice, the omitted item(s) (with a supplemental oath or declaration in compliance with 37 CFR 1.63 and 1.64 referring to such items), and a petition under 37 CFR 1.182 (with the \$130.00 petition fee (37 CFR 1.17(h)) requesting the later filing date must be filed within **TWO MONTHS** of the date of this Notice.

III. The failure to file a petition (and petition fee) under the above options (I) or (II) within TWO MONTHS of the date of this Notice (37 CFR 1.181(f)) will be treated as a constructive acceptance by the applicant of the application as deposited in the USPTO. THIS TWO MONTH PERIOD IS NOT EXTENDABLE UNDER 37

CFR 1.136(a) or (b). In the absence of a timely filed petition in reply to this Notice, the application will maintain a filing date as of the date of deposit of the application papers in the USPTO, and original application papers (i.e., the original disclosure of the invention) will include only those application papers present in the USPTO on the date of deposit.

In the event that applicant elects not to take action pursuant to options (I) or (II) above (thereby constructively electing option (III)), amendment of the specification to renumber the pages consecutively and cancel incomplete sentences caused by any omitted page(s), and/or amendment of the specification to cancel all references to any omitted drawing(s), relabel the drawing figures to be numbered consecutively (if necessary), and correct the references in the specification to the drawing figures to correspond with any relabelled drawing figures, is required. Any drawing changes should be accompanied by a copy of the drawing figures showing the proposed changes in red ink. Such amendment and/or correction to the drawing figures, if necessary, should be by way of preliminary amendment submitted prior to the first Office action to avoid delays in the prosecution of the application.

A copy of this notice MUST be returned with the reply.



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

420503-232(10006647-1)(5639)

Attorney Docket Number

May 25, 2001

Date of filing enclosed papers

RE:

SERVICE CONTROL MANAGER SECURITY MANAGER LOOKUP

Application No.: 09/800,188

Filing date: 03/06/2001

Patent No.: _____

Issue date: _____

Applicant/Inventor: Richard D. HARRAH, et al.

The following items/fees were received from Dorsey & Whitney, Washington, D.C., by the U.S. Patent & Trademark Office:

ITEMS

☐ PCT Request

☐ Pages & PCT fee calculation sheet

☐ New Application

☐ Formal Drawings

☐ Power of Attorney (PCT Rule 90.4)

☐ Executed Combined Declaration and Power of Attorney

☐ Response to Notice to File Missing Parts of Application

☐ Certificate of Correction

☐ Request for Certificate of Correction of Patent

☐ Supplemental Information Disclosure Statement

☐ IDS w/PTO - 1449 form w/reference copy

☐ Letter to Draftsman

☐ Issue Fee Transmittal PTOL Form 85B

☐ Issue Fee Transmittal Letter

☐ Amendment Under 37 CFR § 1.312(a)

☐ Assignment w/Recordation cover Sheet

☐ New U.S. Provisional Patent/Design Application (12 sheets)

☐ National Stage Application

☐ Translation of National Stage

☐ Priority Document - CC ofApp. # Date

☐ Notice of Opposition

☐ Petition/Request for EOT

☒ Preliminary Amendment

☐ Status Check Inquiry

☐ Notice of Appeal

☐ Appeal Brief (in triplicate)

☐ Reply Brief (in triplicate)

☐ Request for Oral Hearing

☐ Confirmation of Hearing Petition

☐ Response

OTHER ITEMS

☐ R'qst. For Corrected Assignment along
w/new recordation sheet and enclosures

X Transmittal Letter

☐ New App. Receipt Post Card self/stamped

☐ Fee Transmittal Sheet

☐ Filing fee

☐ Claim to priority

☐ Additional Claim fees

☐ Recordation/Indexing fee

☐ Issue Fee

☐ Extension of Time Fee

☐ **TOTAL FEES** = \$0.00

To be charged to Deposit Account

No. 08-2025

RETURN DATE-STAMPED

BLUE SHEET TO:

Melissa McKibben

TEL. (703) 288-5246

IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Richard D. HARRAH, et al.

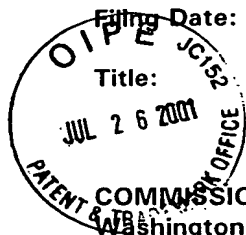
Serial No.: 09/800,188

Examiner:

Filing Date: March 6, 2001

Group Art Unit:

Title: SERVICE CONTROL MANAGER SECURITY MANAGER LOOKUP



COMMISSIONER FOR PATENTS
Washington, D.C. 20231



TRANSMITTAL LETTER AND RESPONSE/AMENDMENT

Sir:

Transmitted herewith is/are the following in the above-identified application:

- (X) Response/Amendment () Petition to extend time to respond
() New fee as calculated below () Supplemental Declaration
() No additional fee (Address envelope to "Box Non-Fee Amendments")
() Other: _____ (fee \$ _____)

CLAIMS AS AMENDED BY OTHER THAN A SMALL ENTITY						
(1) FOR	(2) CLAIMS REMAINING AFTER AMENDMENT	(3) NUMBER EXTRA	(4) HIGHEST NUMBER PREVIOUSLY PAID FOR	(5) PRESENT EXTRA	(6) RATE	(7) ADDITIONAL FEES
TOTAL CLAIMS	20	MINUS	20	= 0	X \$18	\$ 0
INDEP. CLAIMS	3	MINUS	3	= 0	X \$80	\$ 0
[] FIRST PRESENTATION OF A MULTIPLE DEPENDENT CLAIM					+ \$270	\$ 0
EXTENSION FEE	1ST MONTH \$110.00	2ND MONTH \$390.00	3RD MONTH \$890.00	4TH MONTH \$1390.00		\$ 0
OTHER FEES						\$
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT						\$ 0

Charge \$ 0 to Deposit Account 08-2025. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25. Additionally please charge any fees to Deposit Account 08-2025 under 37 CFR 1.16, 1.17, 1.19, 1.20 and 1.21. A duplicate copy of this sheet is enclosed.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: May 25, 2001

Typed Name: Melissa McKibben

Signature: _____

Respectfully submitted,

Richard D. HARRAH, et al.

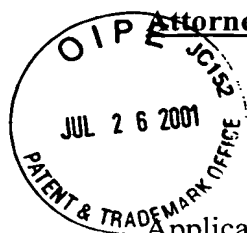
By Sean Wooden 47,743 for

SEAN WOODEN

Attorney/Agent for Applicant(s)

Reg. No. 43,997

Date: May 25, 2001



UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Richard D. HARRAH, et al.

Examiner: Not assigned yet

Serial No.: 09/800,188

Art Unit: Not assigned yet

Filed: March 6, 2001

Title: SERVICE CONTROL MANAGER SECURITY MANAGER LOOKUP

Box Missing Parts
Commissioner for Patents
Washington, D.C. 20231

RECEIVED

AUG 24 2001

Technology Center 2100

**RESPONSE TO NOTICE OF INCOMPLETE REPLY OF
NONPROVISIONAL APPLICATION AND PETITION UNDER 37 CFR 1.17(h)**

Sir:

In response to the Notice Of Incomplete Reply Of Nonprovisional Application dated June 29, 2001, please find enclosed the following:

- Copy of date-stamped Patent and Trademark Office transmittal letter evidencing timely filing of Notice to File Missing Parts Response on June 4, 2001, along with attachments
- Copy of Preliminary Amendment filed on May 25, 2001 effectively deleting any reference to Figure 5 of the instant application
- Petition fee in the amount of **\$130.00** under 37 CFR 1.17(h)
- Copy of Notice of Incomplete Reply (nonprovisional)

In addition, applicants would like to emphasize that this is the **second submittal** of date-stamped copies of a Preliminary Amendment filed on May 25, 2001. The Preliminary Amendment was filed with the intention of effectively deleting **any reference to Figure 5**, in view of an error in the instant application that erroneously referenced Figure 5, when in fact the instant application **does not comprise Figure 5**.

Applicants believe the only issue remaining in the formalities stage of the instant application is Figure 5. Based on the above explanation and the submittal of a copy of

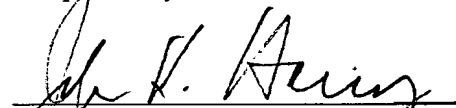
Preliminary Amendment filed on May 25, 2001 along with a Petition fee, applicants believe there are no outstanding issues remaining in the instant application.

Accordingly, applicants respectfully request that the Notice of Incomplete Reply be dismissed without delay in due course. Upon dismissal of the Notice of Incomplete Reply, the Commissioner is respectfully requested to refund Deposit Account No. **08-2025** in the amount of **\$130.00** in connection with the Petition fee paid under 37 CFR 1.17(h).

The Commissioner is hereby authorized to charge the Petition fee under 37 CFR 1.17(h) in the amount of **\$130.00** to Deposit Account No. **08-2025**. In addition, the Commissioner may charge any excess or insufficiency to the above deposit account number in connection with this communication. A duplicate copy of this letter is transmitted for that purpose.

Date: July 26, 2001

Respectfully submitted,



John K. Harrop, Reg. No. 41,817

DORSEY & WHITNEY LLP

1660 International Drive

Suite 400

McLean, VA 22102

Tel. (703) 288-5247

Fax (703) 288-5260



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov



APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/800,188	03/06/2001	Richard Dale Harrah	10006647-1

CONFIRMATION NO. 3393

FORMALITIES LETTER



OC000000006245790

HEWLETT-PACKARD COMPANY
Intellectual Property Administration
P.O. Box 272400
Fort Collins, CO 80527-2400

Date Mailed: 06/29/2001

RECEIVED**NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)**

AUG 24 2001

Filing Date Granted

Technology Center 2100

The U.S. Patent and Trademark Office has received your reply on to the Notice mailed and it has been entered into the nonprovisional application. The reply, however, does not include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain **EXTENSIONS OF TIME** under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent **ABANDONMENT** of the above-identified application.

- Figure(s) Figure(s) 5 described in the specification.

I. Should applicant contend that the above-noted omitted item(s) was in fact deposited in the U.S. Patent and Trademark Office (USPTO) with the nonprovisional application papers, a copy of this Notice and a petition (and \$130.00 petition fee (37 CFR 1.17(h))) with evidence of such deposit **must** be filed within **TWO MONTHS** of the date of this Notice. The petition fee will be refunded if it is determined that the item(s) was received by the USPTO.

II. Should applicant desire to supply the omitted item(s) and accept the date that such omitted item(s) was filed in the USPTO as the filing date of the above-identified application, a copy of this Notice, the omitted item(s) (with a supplemental oath or declaration in compliance with 37 CFR 1.63 and 1.64 referring to such items), and a petition under 37 CFR 1.182 (with the \$130.00 petition fee (37 CFR 1.17(h))) requesting the later filing date **must** be filed within **TWO MONTHS** of the date of this Notice.

III. The failure to file a petition (and petition fee) under the above options (I) or (II) within **TWO MONTHS** of the date of this Notice (37 CFR 1.181(f)) will be treated as a constructive acceptance by the applicant of the application as deposited in the USPTO. **THIS TWO MONTH PERIOD IS NOT EXTENDABLE UNDER 37 CFR 1.136(a) or (b).** In the absence of a timely filed petition in reply to this Notice, the application will maintain a filing date as of the date of deposit of the application papers in the USPTO, and original application papers (i.e., the original disclosure of the invention) will include only those application papers present in the USPTO on the date of deposit.

In the event that applicant elects not to take action pursuant to options (I) or (II) above (thereby constructively

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07/27/2001 09:00:00 00000000

electing option (III)), amendment of the specification to renumber the pages consecutively and cancel incomplete sentences caused by any omitted page(s), and/or amendment of the specification to cancel all references to any omitted drawing(s), relabel the drawing figures to be numbered consecutively (if necessary), and correct the references in the specification to the drawing figures to correspond with any relabelled drawing figures, is required. Any drawing changes should be accompanied by a copy of the drawing figures showing the proposed changes in red ink. Such amendment and/or correction to the drawing figures, if necessary, should be by way of preliminary amendment submitted prior to the first Office action to avoid delays in the prosecution of the application.

*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Inventors: Richard D. HARRAH, et al.
Application Serial No.: 09/800,188 Group: Unknown
Filing Date: March 6, 2001 Examiner: Unknown
Entitled: SERVICE CONTROL MANAGER SECURITY
MANAGER LOOKUP

Commissioner of Patents
Washington, D.C. 20231

May 25, 2001

Preliminary Amendment

Sir:

Preliminary to examination of the above-identified instant application,
Applicants submit the following amendments:

In the Specification:

Please delete the paragraph at Page 2, lines 11-12, in its entirety.

Please replace the paragraph beginning at page 8, line 13, with the following
rewritten paragraph:

--Tool execution may start with a request from the user 210 to run a tool 240
on one or more nodes 130. The request may include task information, such as the
name of the tool to be run, the location of the tool, the nodes on which to run the
tool, and required arguments of the tool, if any. An example of tool execution is
described in United States patent application of Lister, Sanchez, Drees, and Finz,
entitled "Service Control Manager Tool Execution."--

Remarks

The above amendment is made in order to correct an inadvertent error. Further, on page 2 of the Instant Application, reference is made to Figure 5 and, inasmuch as this application has only four (4) figures, the erroneous reference has been deleted. Applicants submit that no new matter has been added by the above.

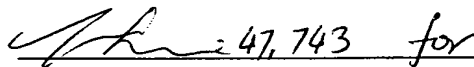
Entry of this Preliminary Amendment is respectfully requested and examination on the merits is earnestly solicited.

Respectfully submitted,

Richard D. Harrah, et al.

Date: May 17, 2001

By:

 47,743 for

Sean Wooden

Attorney/Agent for Applicants

Registration No.: 43,997

DORSEY & WHITNEY LLP

1001 Pennsylvania Avenue, NW

Suite #300 South

Washington, D.C. 20004

Telephone No.: (202) 824-8800

VERSION WITH MARKINGS TO SHOW CHANGES MADE

In the Specification

The paragraph at page 2, lines 11-12 has been amended as follows:

[Figure 5 is a flow chart of a method for checking a user's authorization to run a tool after receiving a tool execution request from the user.]

The paragraph beginning at page 8, line 13, has been amended as follows:

Tool execution may start with a request from the user 210 to run a tool 240 on one or more nodes 130. The request may include task information, such as the name of the tool to be run, the location of the tool, the nodes on which to run the tool, and required arguments of the tool, if any. An example of tool execution is described in United States patent application of Lister, Sanchez, Drees, and Finz, entitled "Service Control Manager Tool Execution," [, and filed on the same day herewith, which is incorporated herein by reference.]